

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Youhei SAKAI

Serial No: Not Assigned

Filed: September 29, 2006

For: Silicon Casting Apparatus and Method of Producing  
Silicon Ingot

Art Unit: Not Assigned

Examiner: Not Assigned

CERTIFICATE OF ELECTRONIC TRANSMISSION

Date of Transmission: September 29, 2006

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that

- ☒ a copy of a letter of transmittal
- ☒ a copy of an Application Data Sheet
- ☒ authorization to charge Deposit Account in amount of \$ 1130.00 as filing fee, search fee and examination fee
- ☒ patent application ( 107 page(s) of specification; 17 claim(s); 1 page(s) of abstract
- ☒ 13 sheet(s) of formal drawings
- ☒ Preliminary Amendment
- ☒ Information Disclosure Statement with 10 references

are being transmitted via electronic filing on the date indicated above to the:  
Commissioner for Patents, USPTO

Date: September 29, 2006

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Rebecca Golden

Name of person transmitting papers

Signature

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|--|--|--|--|---|--|
| FORM PTO-1390<br>(REV 1-98)  |  | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE                                |  | ATTORNEY'S DOCKET NUMBER<br><br><div style="text-align: center; font-weight: bold;">81872.0129</div>                |  |
| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A FILING UNDER 35 U.S.C. 371</b>  |  |  |  | U.S. APPLICATION NUMBER<br>(if known, see 37 C.F.R. 1.5)<br><br><div style="text-align: center;">Not Assigned</div> |  |
| INTERNATIONAL APPLICATION NO.<br><br><div style="text-align: center;">PCT/JP2005/006549</div>  |  | INTERNATIONAL FILING DATE<br><br><div style="text-align: center;">March 29, 2005</div> |  | PRIORITY DATE CLAIMED<br><br><div style="text-align: center;">March 29, 2004</div>                                  |  |
| TITLE OF INVENTION <b>Silicon Casting Apparatus and Method of Producing Silicon Ingot</b>  |  |  |  |   |  |
| APPLICANT(S) FOR DO/EO/US <b>Youhei SAKAI</b>  |  |  |  |   |  |
| <p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <li>1.   <input checked="" type="checkbox"/>    This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2.   <input type="checkbox"/>        This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3.   <input checked="" type="checkbox"/>    This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li>4.   <input type="checkbox"/>        A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li>5.   <input checked="" type="checkbox"/>    A copy of the International Application as filed (35 U.S.C. 371(c)(2))               <ol style="list-style-type: none"> <li>a.   <input type="checkbox"/>    is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b.   <input checked="" type="checkbox"/>   has been transmitted by the International Bureau.</li> <li>c.   <input type="checkbox"/>    is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6.   <input checked="" type="checkbox"/>    A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li>7.   <input type="checkbox"/>        Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))               <ol style="list-style-type: none"> <li>a.   <input type="checkbox"/>    are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b.   <input type="checkbox"/>    have been transmitted by the International Bureau.</li> <li>c.   <input type="checkbox"/>    have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d.   <input type="checkbox"/>    have not been made and will not be made.</li> </ol> </li> <li>8.   <input type="checkbox"/>        A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9.   <input type="checkbox"/>        An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/>       A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>Items 11. to 16. below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/>    An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.</li> <li>12. <input type="checkbox"/>        An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/>    A FIRST preliminary amendment.               <div style="margin-left: 20px;"> <input type="checkbox"/>    A SECOND or SUBSEQUENT preliminary amendment.             </div> </li> <li>14. <input type="checkbox"/>        A substitute specification.</li> <li>15. <input type="checkbox"/>        A change of power of attorney and/or address letter.</li> <li>16. <input checked="" type="checkbox"/>    Other items or information:<br/> <div style="margin-left: 20px;">APPLICATION DATA SHEET</div> </li> </ol> |  |  |  |   |  |

